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November 27, 2000

**Attorney Docket No.: AURO1100-5**

**Parent Serial No.: 09/134,662**

**Parent Filing Date: 7/30/98**

## Box Patent Application

Commissioner for Patents  
Washington, DC 20231

Presented for filing is a new divisional patent application of:

**APPLICANTS: PETER J. COASSIN and CHRISTOPHER B. SHUMATE**

**TITLE: MICROPLATE LID**

Under 35 USC § 120, this application is a divisional and claims the benefit of prior U.S. Application Serial No. 09/134,662, filed July 30, 1998, which is a continuation-in-part of U.S. Application Serial No. 09/030,578, filed February 24, 1998 (pending), and U.S. Patent Application Serial No. 09/028,283, filed February 24, 1998 (pending), all of the disclosures of which are incorporated herein by reference in their entirety.

Enclosed are the following papers, including all those required for a filing date under 37 CFR § 1.53(b):

Pages of Specification	7
Pages of Claims	2
Pages of Abstract	1
Pages of Declaration (unsigned)	3
Pages of Drawings (informal)	12

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MIKHAIL BAYLEY

Enclosures:

Information Disclosure Statement (2 pages)  
Form PTO-1449 (2 pages)  
Number of References: N/A

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Multiple dependent claims	\$	
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Respectfully submitted,

Date:

11/27/00

  
\_\_\_\_\_  
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Mikhail Bayley

APPLICATION

for

UNITED STATES LETTERS PATENT

on

**MICROPLATE LID**

by

**PETER J. COASSIN**

**and**

**CHRISTOPHER B. SHUMATE**

Sheets of Drawings: 12

Attorney Docket No.: AURO1100-5

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## BACKGROUND

The present application claims the benefit of the filing date of the following applications:  
 U.S. Patent Application No. 09/030,578, filed 2/24/98, now pending; U.S. Patent Application  
 No. 09/028,283, filed 2/24/98, now pending; each of which are incorporated herein by reference.

This invention relates to the field of biomedical testing, and more particularly to the transport, handling and processing of biomedical sample holders such as microplates. Microtiter plates, commonly known as "microplates", facilitate the simultaneous testing (or other processing) of a large number of individual biomedical samples. Microplates have been in common use for decades with a predominant format being a molded plastic plate having 96 sample wells in an 8 x 12 rectangular array. Typical well volumes are 200 or 300 microliters, depending upon the manufacturer and model of plate, although other volumes may be provided for specific uses. A proposed standard, designated "Microplate 96-Well Standard" (MP96) has been promulgated by The Society for Biomolecular Screening, as published in *Journal of Biomolecular Screening*, Volume 1, Number 4, 1996, the disclosure of which is incorporated herein by reference. A microplate which meets the general dimensional requirements of the standard is designated MP96-3. Typically, each microplate manufacturer will also provide a compatible lid. A typical lid comprises a generally rectangular flat planar top surrounded by a flange depending from the top along its sides and edges.

Automated handling of microplates has become an important criterion in their design. It is therefore desirable to provide a microplate lid configuration that facilitates use with automation. Specifically, it is desirable to provide a lid that facilitates automatic stacking and unstacking of lidded microplates, automatic stacking and unstacking of lids without microplates, and automated installation and removal of lids from microplates.

## SUMMARY

In one embodiment, the invention is directed to a lid which is the unitarily formed combination of a substantially flat, generally rectangular top having first and second pairs of opposite sides

30 and a flange, depending from the top along the first and second pair of sides, the flange bearing at least one recessed area along each of the first pair of sides, the recessed area extending into the top.

Some implementations may include one or more of the following: (1) each side of the first pair of sides may have two such recessed areas; (2) each side of the second pair of sides may have at least one recessed area extending toward the top; (3) each side of the second pair of sides may have one recessed area extending toward but not reaching the top.

In one embodiment, the flange may bear two recessed areas along each of the first pair of sides extending into the top and two recessed areas along each of the second pair of sides extending into the top, with a third recessed area along each of the second pair of sides, between the two recessed areas that extend into the top on such sides, but not reaching the top. The three recessed areas of each of the second pair of sides may be contiguous and the third recessed area may have a substantially straight leading edge. The lid may have a sealing feature for sealing to the top of the microplate and the sealing feature may comprise a substantially continuous lip depending from the lower surface of the top slightly inboard of the sides and uninterrupted by any of the recesses.

A further embodiment of the invention is directed to a process for adding to and removing from a stack of lidded microplates. The initial lowermost microplate in the stack is supported at a first height by a pair of opposite, inwardly-directed support features of a stacking/unstacking machine, each remaining microplate in the stack resting atop the lid of the microplate immediately below. The process may include the steps of adding an additional microplate to the stack as a new lowermost microplate by elevating the additional microplate with an elevator from below the stack until the lid supports the initial lowermost microplate, the support features being accommodated by a pair of opposite, inwardly-directed recesses in the lid of the additional microplate. The support features are separated to allow passage of the additional microplate and the additional microplate is further elevated until it reaches at least the first height, whereupon the support features may be inserted beneath the additional microplate and the elevator lowered so as to disengage the elevator from the stack, leaving the stack supported by the support features and leaving the additional microplate as the new lowermost in the stack. The process may be repeated with further microplates added to the stack in place of the new lowermost microplate.

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The invention may further provide for the removal of a microplate from the stack by raising an elevator to engage the lowermost microplate, further raising the elevator to disengage the stack from the support features, separating the support features and lowering the elevator. The support features may be reinserted so that they are accommodated by a pair of opposite, inwardly-directed recesses in the lid of the lowermost microplate and the elevator further lowered so that the microplate above the lowermost microplate is engaged by the support features and becomes the new lowermost microplate as the previous lowermost microplate may be removed.

In a further embodiment, the invention provides for removing a microplate lid by introducing a pair of stop features to a pair of opposite, inwardly-directed recesses in the lid of the microplate so at least a portion of the stop features are positioned directly over at least a portion for the microplate. The lid may be raised with the stop members preventing movement of the microplate so as to permit separation of the lid from the microplate. The raising of the lid may comprise introducing a pair of lifting features into a pair of opposite, inwardly-directed recesses in the lid with at least a portion of the lifting features extending immediately below a portion of the lid.

The details of one or more embodiments of the invention are set forth in the accompanying drawings and the description below. Other features, objects, and advantages of the invention will be apparent from the description and drawings, and from the claims.

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**DESCRIPTION OF DRAWINGS**

**FIG. 1** is a perspective view of a lid according to principles of the invention.

**FIG. 2** is a top view of the lid of **FIG. 1**.

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**FIG. 3** is an end view of the lid of **FIG. 2**.

**FIG. 4** is a side view of the lid of **FIG. 2**.

90 **FIG. 5** is a partial cross-sectional view of the lid of **FIG. 2**, taken along line 5-5.

**FIG. 6** is a semi-schematic view of a system for stacking and unstacking lidded microplates according to principles of the invention.

95 **FIGS 7-10** are semi-schematic views of the stacking system of **FIG. 6** in various stages of operation.

**FIGS. 11 & 12** are partial-schematic views of a system for removing lids from microplates according to principles of the invention.

100 Like reference numbers and designations in the various drawings indicate like elements.

## 105 **DETAILED DESCRIPTION**

One embodiment of a microplate lid according to principles of the invention is shown in **FIG. 1**.

The materials for manufacturing the lid will typically be polymeric, since these materials lend themselves to mass manufacturing techniques, for example polystyrene or a cycloolefin polymer. However, other materials can be used such as glass or quartz. Preferably, polymers are selected that have low fluorescence and or reflectance. Additionally materials such as polymers can include pigments to darken the lid and absorb light. Such application of pigments will help reduce background fluorescence. Pigments can be introduced by any means known in the art, such as coating or mixing during the manufacture of the material or multi-well platform.

Pigment selection can be based on a mixture of pigments to dampen all background inherent to the polymer, or a single pigment or ensemble of pigments selected to filter or absorb light at desired wavelengths. The lid **20** comprises a generally rectangular top **22** preferably having planar upper and lower surfaces **24** **FIG. 2** and **26**, respectively. A flange **30** depends from all four sides of the top. For purposes of exposition, the shorter sides are referred to as a pair of front and back ends **32a** and **32b**, and the longer sides as left and right sides **34a** and **34b**, respectively.

With the exception of the presence of recesses (described below), the flange 30 continuously  
120 surrounds the top in the preferred embodiment.

On opposite sides of a transverse centerline 102, the flange bears a recessed area 42a and 42b  
and 44a and 44b along each side 34a and 34b, respectively, extending toward and slightly into  
the top. Similarly, on opposite sides of the longitudinal centerline 104, the flange bears a  
recessed area 46a and 46b and 48a and 48b along each end 32a and 32b, respectively, extending  
125 toward and slightly into the top. Along each end 32a and 32b, the flange also bears a slightly  
recessed area 50a and 50b, respectively, positioned centrally between and connecting recessed  
areas 46a and 48a and 46b and 48b, respectively FIG. 3. Although recesses 50a and 50b extend  
slightly toward the tops they do not reach it, having straight leading edges 52a and 52b which are  
recessed only slightly relative to the leading edge 31 of the remainder of the flange.

130 In the exemplary embodiment, the general dimensions of the top are approximately 5.03  
inches in length between the ends, and 3.25 inches in width between the sides, with a thickness  
of 0.06 inches. The flange 30 has a depth (D1) of 0.25 inches (from the upper surface of the top  
to the leading edge 31 of the flange) and the central recessed areas 50a and 50b are recessed by a  
distance D2 of 0.125 inches from the leading edge 31 of the flange.

135 As shown in FIG. 5, a sealing feature 56 depends from the lower surface or underside 26 of  
the top 24 and is formed as a substantially continuous lip, located slightly inboard of ends 32a  
and 32b and sides 34a and 34b and uninterrupted by the recesses. The sealing feature can  
support the lower surface 26 of the top above the upper surface or top of the microplate and may  
provide a seal with the microplate. In the exemplary embodiment, the sealing lip extends 0.03  
140 inches below the underside 26 of the top 24.

Shown in FIG. 6 is an apparatus for stacking and destacking lidded microplates. The  
apparatus includes an elevator comprising four threaded lifting shafts 202. Rotation of the shafts  
will raise or lower the shafts relative to a base 204 so that their upper ends 206 can engage the  
bottom of a microplate. As further shown in FIG. 7, in an exemplary process for adding to and  
145 removing from a stack 210 of lidded microplates, an initial lowermost first microplate 214 is  
supported at a first height H1 by a pair of opposite, inwardly-directed, support fingers 212. Each  
remaining microplate in the stack rests atop the lid of the microplate immediately below. As  
shown in FIGS. 7 and 8, a second lidded microplate 216 (FIG. 8) is brought under the stack



such as by means of a conveyor belt **218** around which the shafts **202** are free to pass. The shafts  
150 are rotated so that they raise and engage the bottom of the second microplate **216**. Further  
rotation elevates the microplate until its lid supports the first microplate **214**, the support fingers  
being accommodated by the recesses **42a** and **42b** and **44a** and **44b** (**FIG. 9**). The support  
fingers are then separated to allow passage of the second microplate **216** and the second  
microplate is further elevated until it reaches a height **H2** slightly above height **H1** **FIG. 10**. The  
155 support fingers are then reinserted beneath the second microplate and the shafts counter-rotated  
to descend, and leave the stacks **210** supported at height **H1** with the second microplate **216** as  
the new lowermost microplate. The shafts may then be further lowered to their original position  
to receive a third microplate and the procedure repeated to make the third microplate a new  
lowermost microplate in the stack.

160 The procedure may be substantially reversed to remove the lowermost microplate from the  
stack. To do this, the shafts are raised until they engage the lowermost microplate **216** at height  
**H1** and then further raised to height **H2** to disengage the stack from the support fingers **212** **FIG.**  
**10**. The support fingers are then separated, allowing the stack to be lowered until the support  
fingers can be reinserted so that they are accommodated by the recesses in the lid of the  
165 lowermost microplate **216** **FIG. 9**. The shafts may be further lowered so that the support fingers  
engage the microplate **214** immediately above the lowermost microplate **216**, microplate **214**  
then becoming the current lowermost microplate in the stack. The previous lowermost  
microplate **216** is then lowered further and may be removed.

As shown in **FIGS. 11 & 12**, once the lid of a microplate is free of the stack, the presence of  
170 the recesses facilitates automated removal of the lid from the microplate. Pairs of opposite  
inwardly directed stop fingers **312**, which may be otherwise similar to fingers **212**, are inserted  
into the recesses, **42a** and **42b** and **44a** and **44b**, so that at least a portion of the fingers are  
positioned directly above at least a portion of the microplate. A pair of opposite, inwardly-  
directed, lifting fingers **330** are then inserted into the recesses **50a** and **50b** so that they come  
175 immediately below the leading edges **52a** and **52b**, respectively.

As shown in FIG. 12, the lifting fingers 330 are raised to engage the leading edges 52a and 52b and raise the lid, with the stop fingers 312 engaging the upper surface of the microplate so as to prevent movement of the microplate and permit separation of the lid from the microplate.

Although various processes have been described as performed relative to the recesses 42a and 42b and 44a and 44b on the sides of the lid, such processes may also be performed relative to the recesses 46a and 46b and 48a and 48b on the ends of the lid.

A number of embodiments of the present invention have been described. Nevertheless, it will be understood that various modifications may be made without departing from the spirit and scope of the invention. For example, although the illustrated recesses on a given side are formed in pairs on opposite sides of the associated center line (and particularly the center of gravity), other configurations such as a bored recesses spanning the center line are similarly useful.

Accordingly, other embodiments are within the scope of the following claims.

## Publications

All publications, including patent documents and scientific articles, referred to in this application are incorporated by reference in their entirety for all purposes to the same extent as if each individual publication were individually incorporated by reference.

All headings are for the convenience of the reader and should not be used to limit the meaning of the text that follows the heading, unless so specified.

WHAT IS CLAIMED IS:

1. A process for adding to and removing from a stack of lidded microplates, a first microplate being an initial lowermost microplate in the stack supported at a first height by a pair of opposite, inwardly-directed, support features of a stacking/unstacking machine, each remaining microplate in said stack resting atop said lid of the microplate immediately below, the process comprising the steps of:

- a) adding a second microplate to the stack as a new lowermost microplate by elevating said second microplate, with an elevator, from below the stack until its lid supports the first lowermost microplate, the support features being accommodated by a pair of opposite, inwardly-directed, recesses in said lid of the second microplate;
- b) separating the support features to allow passage of said second microplate;
- c) further elevating said second micro-plate until it reaches at least the first height;
- d) inserting said support features beneath said second microplate and lowering said elevator so as to disengage said elevator from stack, leaving said stack supported by said support features and leaving said second microplate as currently lowermost in said stack;
- e) repeating steps (a)-(d) with a third microplate in place of said second microplate and said second microplate in place of said first microplate.

2. The process of claim 1 further comprising the steps of:

- a) raising said elevator to engage said third microplate;
- b) further raising said elevator to disengage said stack from said support features;
- c) separating said support features;
- d) lowering said elevator;
- e) reinserting said support features so that they are accommodated by a pair of opposite, inwardly directed, recesses in said lid of said third microplate; and
- f) further lowering said elevator so that said support features engage said second microplate immediately

3. The process of claim 2 further comprising the steps of:

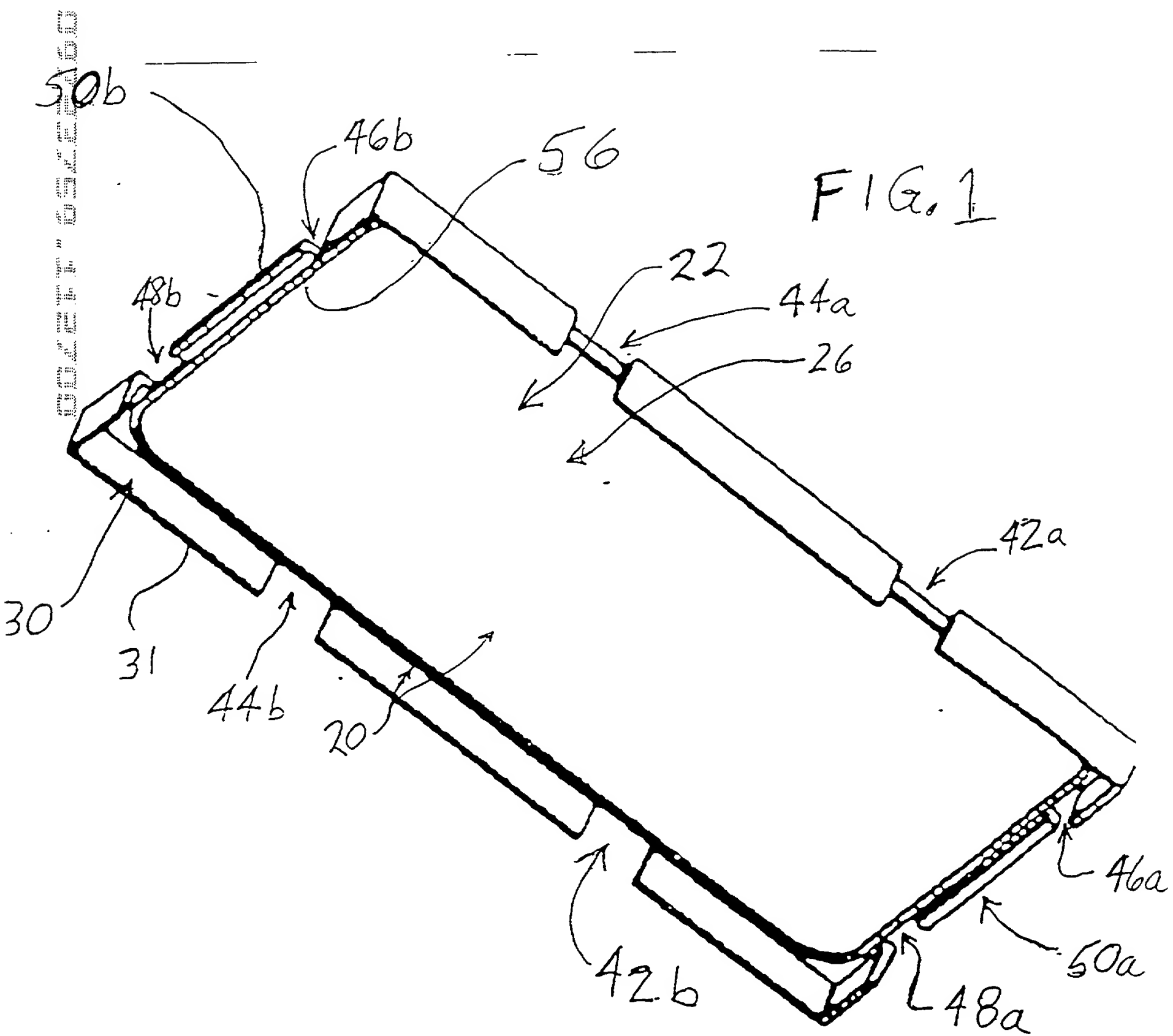
- a) introducing a pair of stop features to said pair of opposite, inwardly-directed, recesses of said lid of said third microplate so that at least a portion of said stop features are positioned directly over at least a portion of said third microplate; and
- b) raising said lid of the third microplate with said stop members preventing movement of microplate so as to permit separation of said lid of said third microplate from said third microplate.

4. The process of claim 3 wherein the step of raising said lid comprises introducing a pair of lifting features into a pair of opposite, inwardly-directed, recesses in said lid with at least a portion of said lifting features extending immediately below a portion of said lid.

5. The process of claim 3 wherein there are two said support features adjacent each side of said stack.

## ABSTRACT

A microplate lid having a substantially flat, generally rectangular top with first and second pairs of opposite sides. A flange depends from the top of the first and second pairs of sides, the flange bearing at least one recess area along each side of the first pair of sides, the recessed area extending into the top.



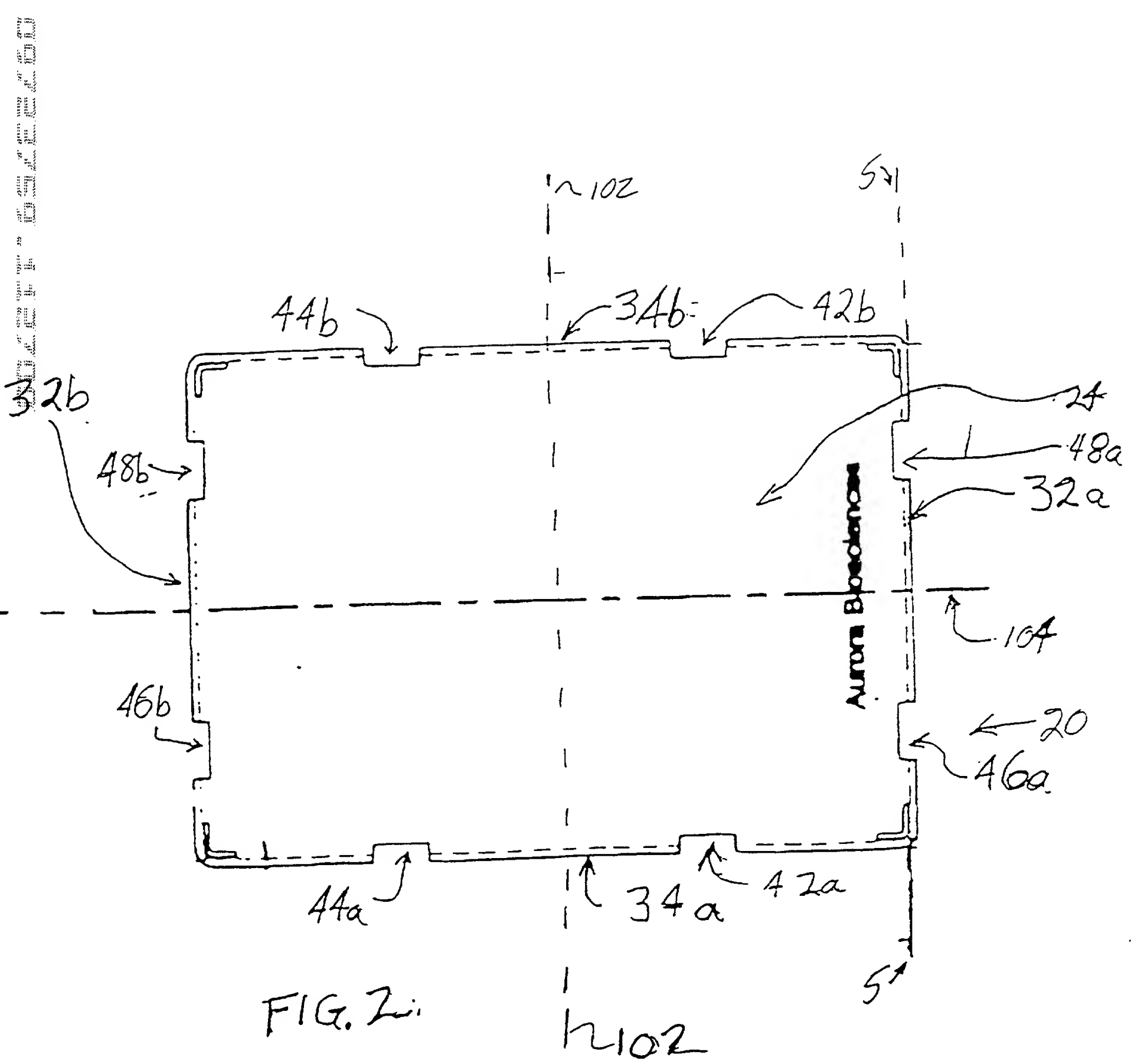


FIG. 2a

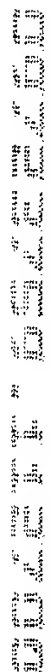
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FIG. 4

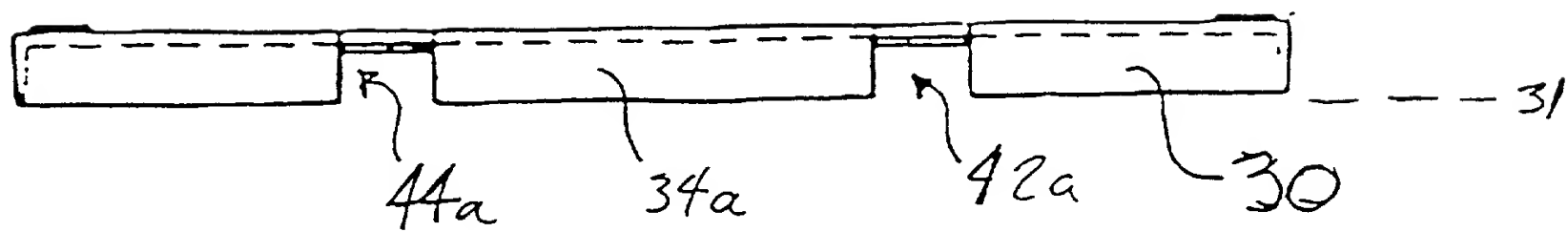


FIG. 5

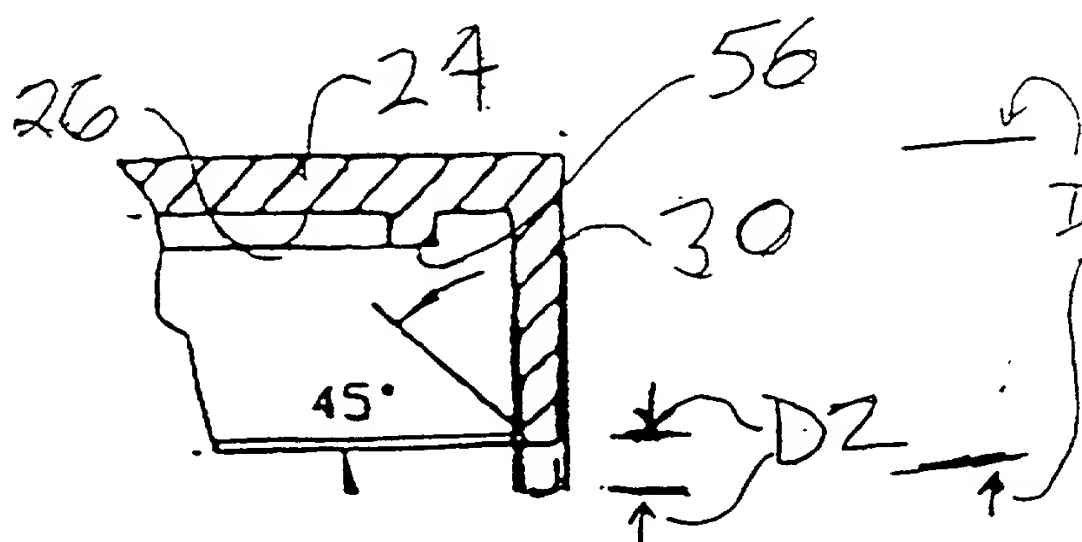


FIG. 6 is a perspective view of the device 100 in a closed position.

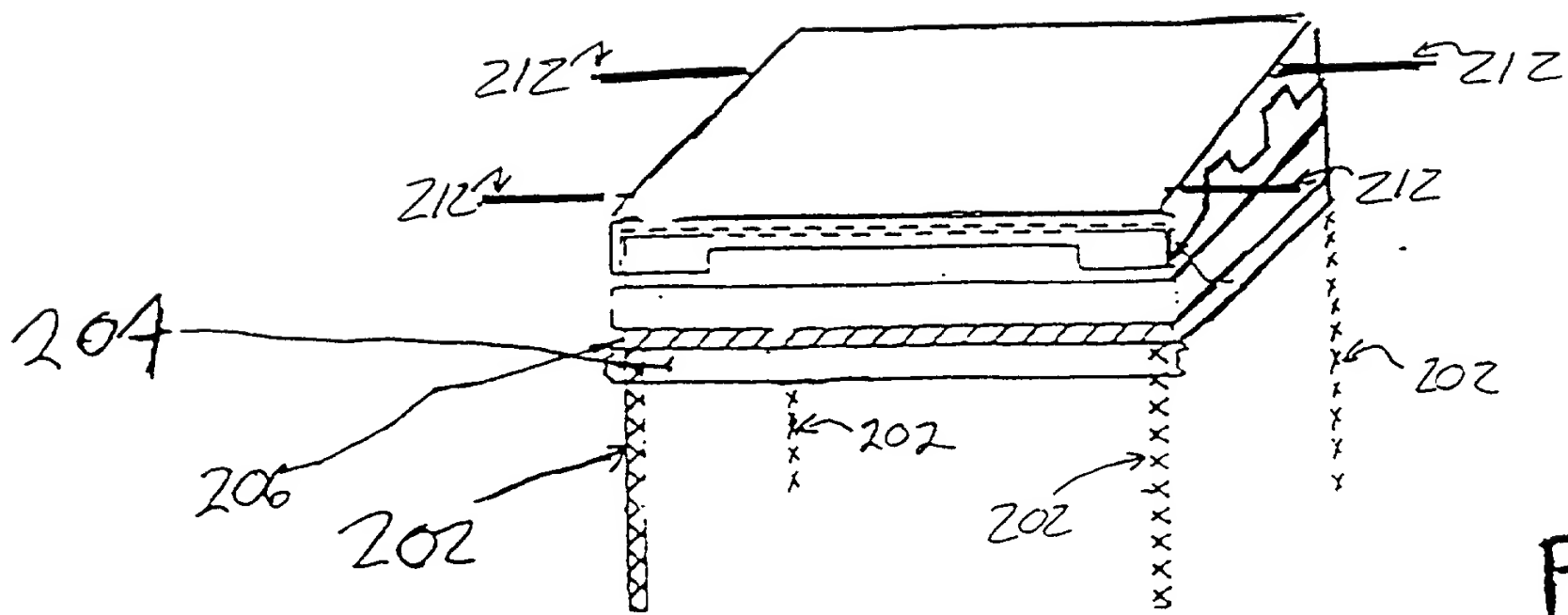


FIG. 6

FIG. 7

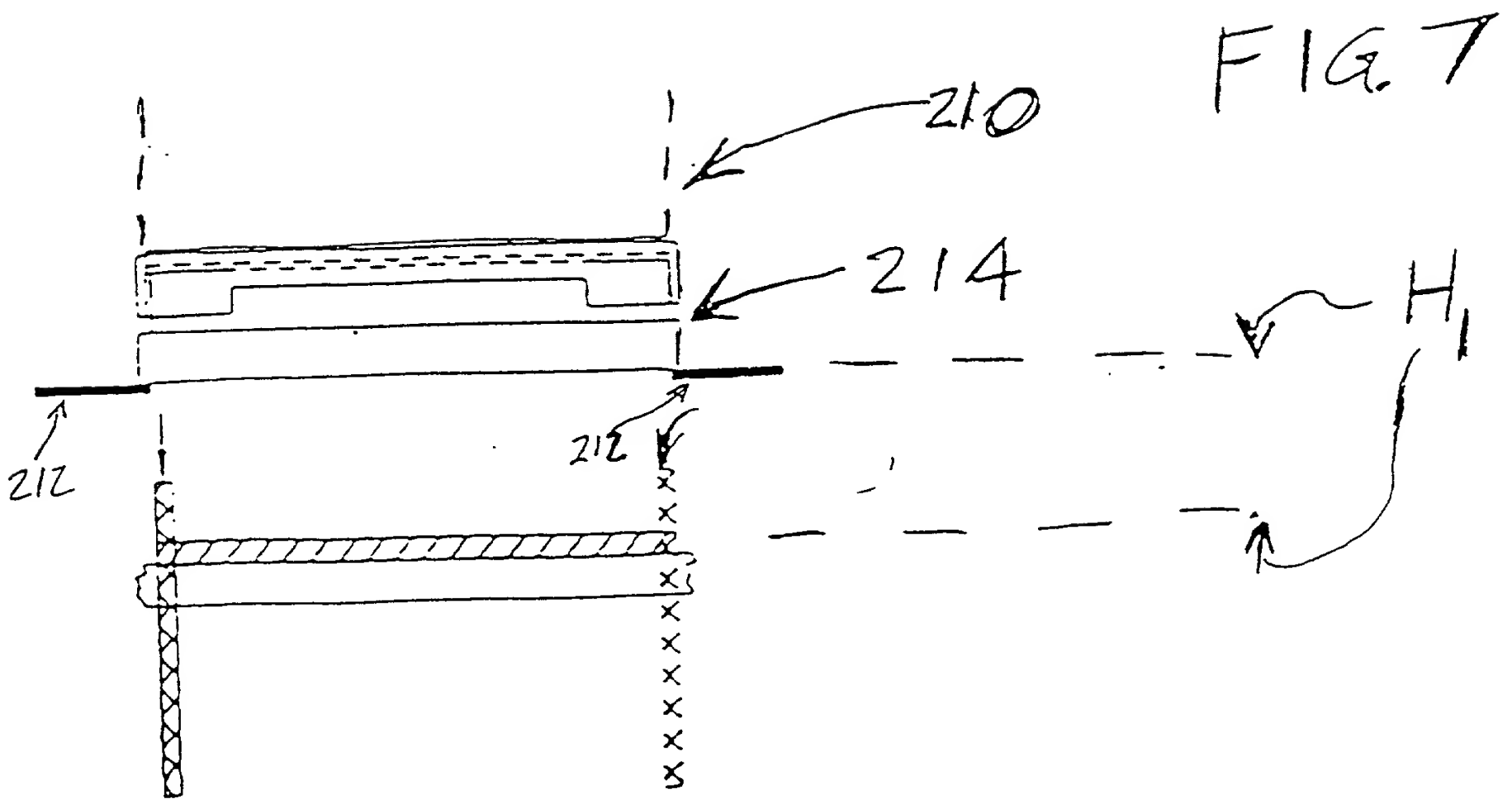


FIG. 8

FIG. 8

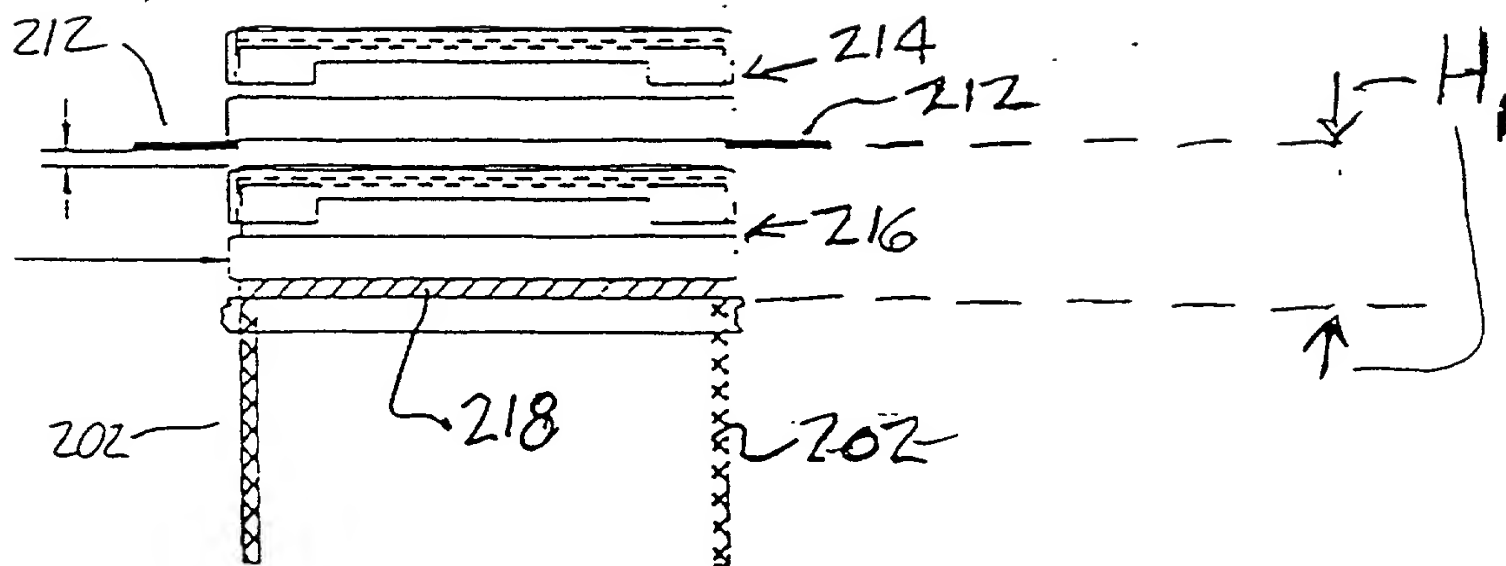


FIG. 9

FIG.  
9

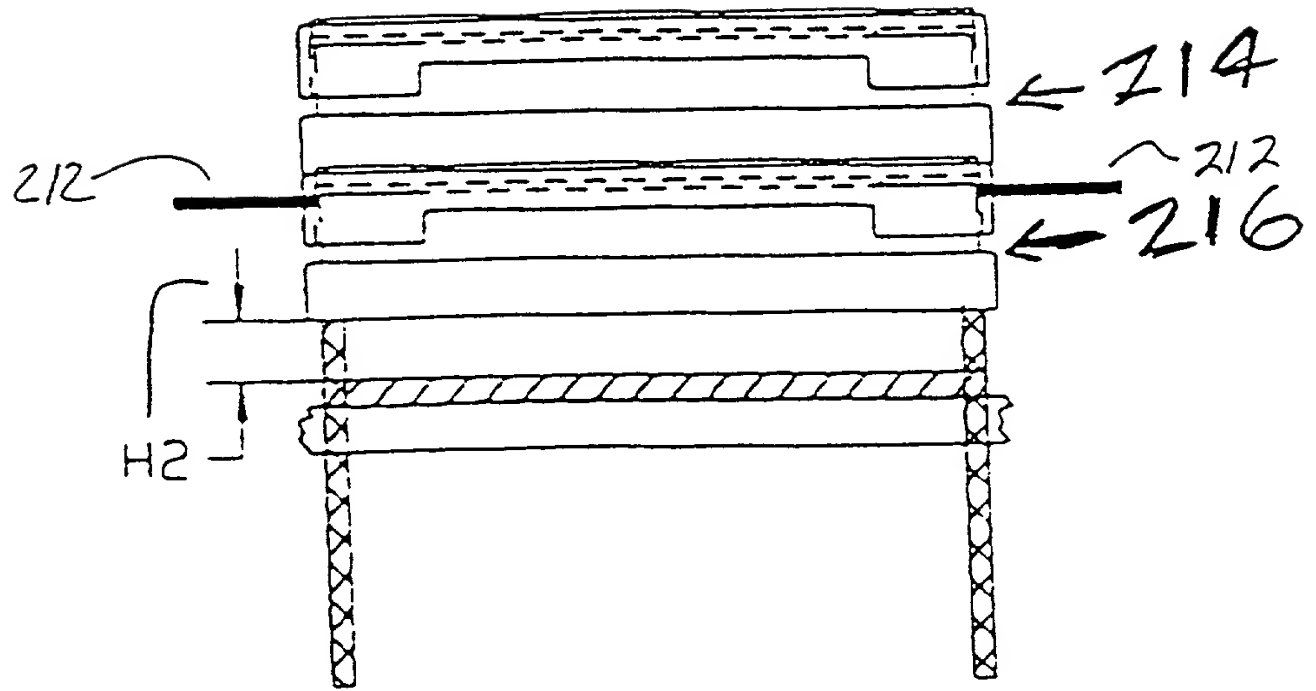
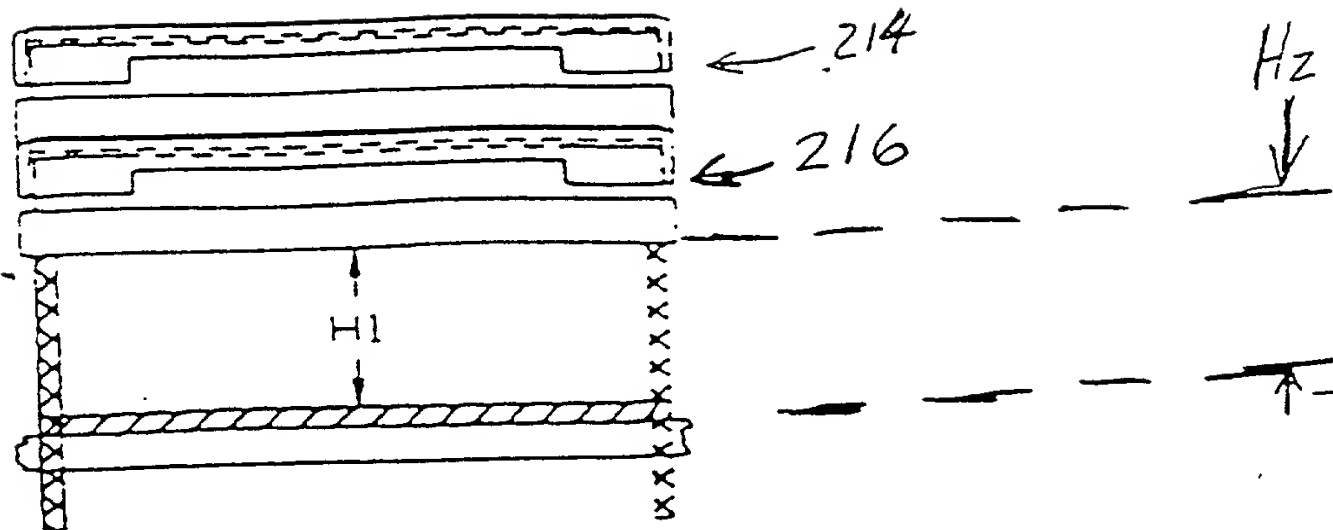


FIG. 10

FIG.  
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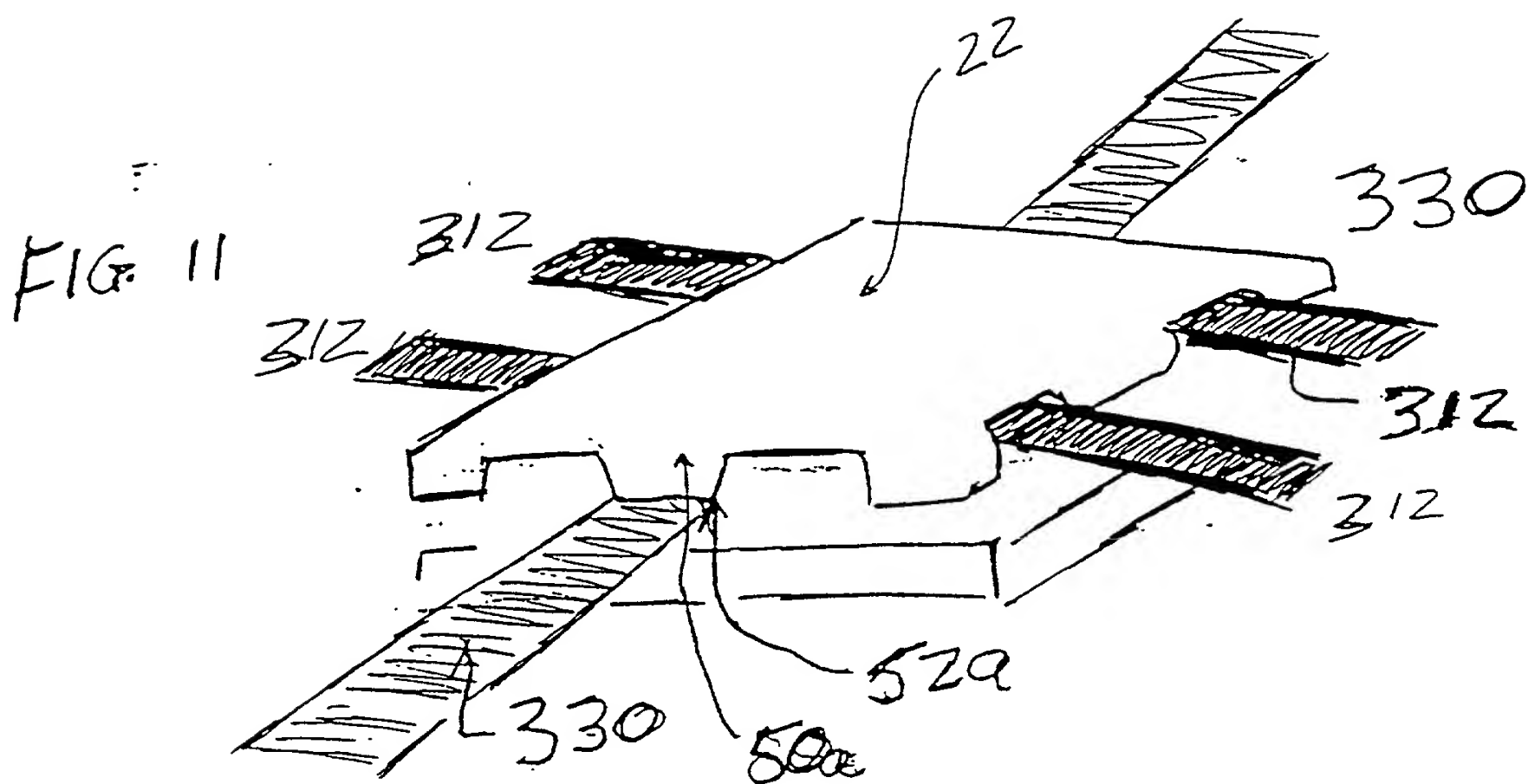
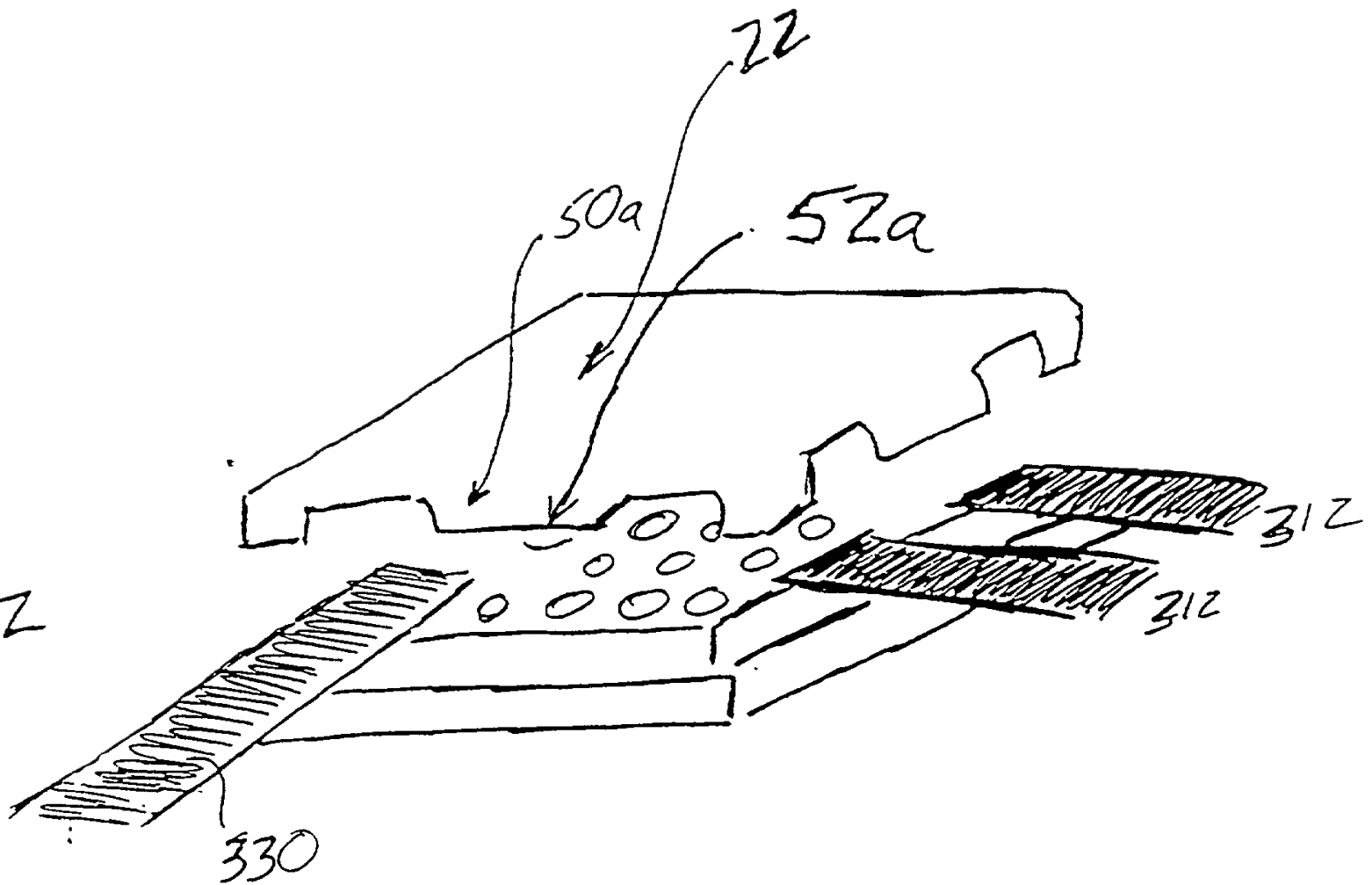




FIG. 12



DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled MICROPLATE LID, the specification of which

\_\_\_\_\_ is attached hereto.

X was filed on November 27, 2000 (Attorney Docket No. AURO1100-5) as U.S. Application Serial No. \_\_\_\_\_ and was amended on \_\_\_\_\_ if applicable (the "Application").

I hereby authorize and request insertion of the application serial number of the Application when officially known.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, Code of Federal Regulations ("C.F.R."), § 1.56.

With respect to the Application, I hereby claim the benefit under 35 U.S.C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, C.F.R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of the Application:

<u>09/134,662</u> (Application Serial No.)	<u>7/30/98</u> (Filing Date)	<u>Pending</u> (Status)
<u>09/030,578</u> (Application Serial No.)	<u>2/24/98</u> (Filing Date)	<u>Pending</u> (Status)
<u>09/028,283</u> (Application Serial No.)	<u>2/24/98</u> (Filing Date)	<u>Pending</u> (Status)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

COUNTRY	APPLICATION NO.	FILING DATE	PRIORITY CLAIMED
_____	_____	_____	<input type="checkbox"/> Yes <input type="checkbox"/> No

In re Application of Coassin and Shumate.  
Application Serial No.:  
Filed: November 27, 2000

PATENT  
Attorney Docket No. AURO1100-5

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor: Peter J. Coassin

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

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Citizenship: U.S.A.

Post Office Address: 1301 Trabert Ranch Road; Encinitas, CA 92024

Full name of second inventor: Christopher B. Shumate

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: La Jolla, California

Citizenship: U.S.A.

Post Office Address: 365 Bonair, Apt. 12; La Jolla, CA 92037